

§ 249b.102

§ 249b.102 Form TA-2,¹ form to be used by transfer agents registered pursuant to section 17A of the Securities Exchange Act of 1934 for the annual report of transfer agent activities.

This form shall be used on an annual basis for registered transfer agents for reporting their business activities.

[51 FR 12134, Apr. 9, 1986, as amended at 73 FR 32228, June 5, 2008]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form TA-2, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

§ 249b.200 Form CA-1,¹ form for registration or for exemption from registration as a clearing agency and for amendment to registration as a clearing agency pursuant to section 17A of the Securities Exchange Act of 1934.

This form shall be used for application for registration or for exemption from registration as a clearing agency and for amendment to registration as a clearing agency pursuant to section 17A of the Securities Exchange Act of 1934.

[40 FR 52359, Nov. 10, 1975, as amended at 51 FR 12134, Apr. 9, 1986; 73 FR 32228, June 5, 2008]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form CA-1, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

§ 249b.300 FORM NRSRO, application for registration as a nationally recognized statistical rating organization pursuant to section 15E of the Securities Exchange Act of 1934 and § 240.17g-1 of this chapter.

This Form shall be used for an initial application for and an application to add a class of credit ratings to, a supplement to an initial application for

¹Copies of the form may be obtained from the Publication Section, Securities and Exchange Commission, 100 F Street, NE., Washington, DC 20549 and from each of the Commission's regional offices.

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and an application to add a class of credit ratings to, an update and amendment to an application for, and a withdrawal from a registration as a nationally recognized statistical rating organization pursuant to section 15E of the Securities Exchange Act of 1934 (15 U.S.C. 78o-7) and § 240.17g-1 of this chapter.

[72 FR 33624, June 18, 2007]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form NRSRO, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

PART 250—GENERAL RULES AND REGULATIONS, PUBLIC UTILITY HOLDING COMPANY ACT OF 1935

REGISTRATION AND GENERAL EXEMPTIONS

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- 250.1 Registration.
- 250.2 Exemption of holding companies which are intrastate or predominantly operating companies.
- 250.3 Exemption of certain banks.
- 250.4 Exemption of certain brokers, dealers and underwriters.
- 250.5 Exemption of certain foreign holding companies.
- 250.6 Termination of exemptions.
- 250.7 Companies deemed not to be electric or gas utility companies.
- 250.8 Exemption of subsidiaries subject to jurisdiction of Interstate Commerce Commission.
- 250.10 Effect of certain exemptions.
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- 250.12 Exemption of certain public utility companies from the definition of subsidiary companies of holding companies.
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- 250.16 Exemption of non-utility subsidiaries and affiliates.

FORMS, PROCEDURE AND ACCOUNTS

- 250.20 Prescribed forms and amendments.
- 250.21 Filing of documents.
- 250.22 Applications and declarations.
- 250.23 Procedure applicable to certain applications and declarations.
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